

AGENDA

CCOutreach National Seminar for Investment Adviser and Investment Company Chief Compliance Officers

**November 14, 2007
U.S. Securities and Exchange Commission
Station Place Auditorium
Washington, DC**

8:00 a.m. - 9:00 a.m. Registration and Security Processing

I. Welcome and Introduction to CCOutreach National Seminar (9:00 – 9:15)

*Lori A. Richards, Director, Office of Compliance Inspections and Examinations
Andrew J. Donohue, Director, Division of Investment Management
U.S. Securities and Exchange Commission*

II. Compliance and Operations – The Importance of Synergy (9:15 – 10:45)

- A. Establishing controls in common deficiency areas.
- B. Lessons learned from examinations – SEC perspective.
- C. Regulatory updates – dealing with change.
- D. The role of the CCO – three years later...what has time taught us?

Speakers

*Robert E. Plaze, Associate Director, Division of Investment Management
Gene A. Gohlke, Associate Director, Office of Compliance Inspections and Examinations
Selwyn J. Notelovitz, Chief Compliance Officer, Wellington Management Company
Marianne O'Doherty, Chief Compliance Officer, Smith Breeden Associates*

Break 10:45 - 11:00

III. CCO's Role in a Changing Environment (11:00 – 12:30)

- A. Strategies for maintaining CCO effectiveness with business leaders.
- B. Changing client objectives, including the special needs of senior investors.
- C. Understanding new products – identifying, monitoring, and mitigating unique compliance risks associated with new products or investments.
- D. What the SEC looks for when your business changes.
- E. The role of the CCO – using the annual review process to anticipate compliance risks in a changing business environment.

